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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/994,399	11/26/2001	Bruce C. Monk	AT-1	7853

7590 08/19/2003
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Londonderry, NH 03053

EXAMINER

CARTER, AARON W

ART UNIT	PAPER NUMBER
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2625

DATE MAILED: 08/19/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/994,399

Applicant(s)

MONK ET AL.

Examiner

Aaron W Carter

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 10 June 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-32 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-32 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 26 November 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____ 6) ☐ Other: _____

DETAILED ACTION

1. This action is responsive to papers filed on June 10, 2003.

Response to Amendment

2. In response to applicant's amendment received on June 10, 2003, all requested changes to the claims have been entered.

Response to Arguments

3. Applicant's arguments filed on June 10, 2003 with respect to claims 1-11, 15, and 31 have been fully considered but they are not persuasive. With respect to 35 USC 102(b) rejections made for claims 12 and 16, arguments are persuasive and rejections of claims 12-14, 16-30, and 32 are withdrawn. However, upon further consideration, a new ground(s) of rejection is made in view of USPN 5,933,526 to Sklarew.

4. Applicants argue with respect to claims 1, 6, 11, 15, and 31, that the prior art does not teach or fairly suggest determining a first characteristic of a first document to be verified, the first characteristic being common to a first group of documents that is less than all documents, and retrieving a set of second characteristics for the first group of documents, where individual documents in the first group of documents have ones of the second characteristics.

Examiner disagrees, Mennie (already of record) discloses in Figure 11a a method that comprises, determining a first characteristic of a first document to be verified (element 104), the first characteristic being common to a first group of documents that is less than all documents

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(element 106), and his method also comprises of retrieving a set of second characteristics for the first group of documents, where individual documents in the first group of documents have ones of the second characteristics (element 112, wherein it is inherent that a set of second characteristics, in this case color, is determined for the first group of documents with size matching the document in question).

Claim Rejections - 35 USC § 102

5. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

6. Claims 1-11, 15, and 31 are rejected under 35 U.S.C. 102(b) as being anticipated by U.S. Patent 5,992,601 to Mennie et al. ("Mennie").

7. As to claims 1,6 and 31, Mennie discloses a method for identifying and verifying documents to determine if they are genuine, counterfeit or altered (column 2, lines 47-50, wherein currency bills corresponds to documents and authenticating corresponds to genuine, counterfeit or altered), the method comprising the steps of:

Determining a first characteristic of a first document to be verified, the first characteristic being common to a first group of documents that is less than all documents (column 2, lines 52-60 wherein the first characteristic is used to determine a first group consisting of a plurality of denomination less than all denomination, associated with that characteristic);

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Retrieving a set of second characteristics for the first group of documents, where individual documents in the first group of documents have ones of the second characteristics (column 2, lines 60-63);

Comparing characteristics found in the first document with each of the second characteristics to identify the first document (column 2, lines 60-63);

Retrieving a set of reference information unique to the first document (column 2, lines 52-54); and

Comparing characteristics found in the first document with each of the set of reference information to determine if the first document is genuine, counterfeit or altered (column 2, lines 64-67).

8. As to claims 2 and 7, Mennie discloses the method in accordance with claim 1 further comprising the step of providing an indication that the first document is genuine, counterfeit, or altered based upon the results of the reference information comparing step (column 2, lines 64-67, Fig. 11 elements 108, 114 and 124).

9. As to claims 3 and 8, Mennie discloses the method in accordance with claims 1, wherein the first characteristic is the size of the first document, all documents are divided into size ranges and the first group of documents are those documents within one of the size ranges (Fig. 11a, elements 106 and 116), and the second characteristics are found at specific locations on individual documents of the first group of documents (Fig. 11b, element 122).

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10. As to claims 4 and 9, Mennie discloses the method in accordance with claims 3, wherein the second characteristics include color patterns at specific locations on the documents (column 21, lines 43-50).

11. As to claims 5 and 10, Mennie discloses the method in accordance with claim 1, further comprising the steps of:

Keeping track of each type of document identified in the first group of documents (Fig. 11a, element 116);

12. As to claims 11 and 15, Mennie discloses a method for identifying and verifying documents to determine if they are genuine, counterfeit or altered (column 2, lines 47-50, wherein currency bills corresponds to documents and authenticating corresponds to genuine, counterfeit or altered), the method comprising the steps of:

Determining the size of a first document to be verified, the size being common to a first group of documents that is less than all documents (Fig. 11a, elements 106 and 116).

Retrieving a set of first characteristics for the first group of documents, where individual documents in the first group of documents have ones of the first characteristics (Fig. 11b, element 122).

Comparing characteristics found in the first document with each of the first characteristics to identify the first document (Fig. 11b, element 122 and 126);

Retrieving a set of reference information for the first document based upon the identity of the first document (Fig. 11, elements 106, 112 and 122 wherein it is inherent that a set of

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reference information retrieved during each of these steps for use in determining if it is a genuine. Also based on the identity of the bill reference info is found and used to determine if it is a genuine in column 24, lines 45-59); and

Comparing characteristics found in the first document with each of the set of reference information to determine if the first document is genuine, counterfeit or altered (Fig. 11, elements 106 and 108, 112 and 114, 122 and 124 and column 24, lines 45-59).

Claim Rejections - 35 USC § 103

13. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

14. Claims 12-14, 16-30, and 32 are rejected under 35 U.S.C. 103(a) as being unpatentable over Mennie as applied to claims 11 and 15 above, and further in view of USPN 5,933,526 to Sklarew.

15. As to claims 12 and 16, Mennie discloses the method in accordance with claim 11, further comprising the steps of keeping track of each type of document identified in the first group of documents (Fig. 11a, element 116), but neglects to explicitly disclose the limitation of selecting first characteristics for use in the first characteristic comparing step starting with first characteristics for the most commonly identified type of document in the first group of documents. However, Sklarew teaches a method of identification in which the elements to be identified are compared to elements in a database/memory (Fig. 7). Sklarew goes on to teach us

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to that the most frequently identified elements are the first to be compared with the elements to be identified (column 14, lines 17-20, and Fig. 7, element 120). Therefore it would have been obvious to one of ordinary skill in the art to combine the invention Mennie with teaching Sklarew. This providing the invention with the ability to keep track of the most commonly identified document and starting the comparison step with that documents characteristics, providing the invention with the advantage of increased performance by reducing the time to determine a match (column 14, lines 19-20).

16. As to claim 13 and 17, Mennie discloses the method in accordance with claim 12 further comprising the step of providing an indication that the first document is genuine, counterfeit or altered based upon the results of the reference information comparing step (column 2, lines 64-67, Fig. 11 elements 108, 114 and 124).

17. As to claim 14 and 18, Mennie discloses the method in accordance with claim 13 wherein the first characteristics include color patterns at specific locations on the documents (column 21, lines 43-50).

18. As to claims 19,22,25,28 and 32, this claim is rejected for the same reasons indicated above for rejections made to claims 11 and 12.

19. As to claims 20,23,26 and 29, this claim is rejected for the same reasons indicated above for rejections made to claim 13.

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20. As to claims 21,24,27 and 30, this claim is rejected for the same reasons indicated above for rejections made to claim 14.

Contact Information

21. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Aaron W. Carter whose telephone number is 703.306.4060. The examiner can normally be reached by telephone between 8am - 4:30pm (Mon. - Fri.).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Bhavesh Mehta can be reached on 703.308.5246. The fax phone number for the organization where the application or proceeding is assigned is 703.872.9306 for regular communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703.306.0377.

Aaron W. Carter
Examiner
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awc

August 18, 2003



**BHAVESH M. MEHTA
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2600**